

08-11-00 03CO ~~SECTOR~~ #30400 Page 1 of 2 \$1

CERTIFICATE OF EXPRESS MAILING

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August 10, 2000

Guy Powers  
Guy Powers

EL246371666US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FILING COMPLETION UNDER RULE 53(f)

PATENT  
APPLICATION

COMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of

Inventor(s): Howard Stein

Appln. No.:

09

605,290

Atty.Dkt.

PMS-265915

HS-1

Series Code

Serial No.

M#

Client Ref

Filed: June 28, 2000

Title: ENCRYPTING SECURITY DEVICE AND PROCESS

Attn: Application Division

Commissioner of Patents  
Washington, DC 20231  
Attn.: Box Missing Parts

Date: August 10, 2000

RECEIVED  
SEP 22 2000  
OIPE/JCWS

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☐ copy attached ☒ not yet received

2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.

2B. ☒ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.

3. ☐ Specification originally filed in non-English language; hence verified translation attached of:

a. ☐ Abstract

b. #  pages of Specification (only spec. & claims)

c. ☐ Drawing(s)

☐ Fig(s).

No of Sheets

08/15/2000 AGOITOM 00000042 09605290

01 FC:201  
02 FC:205

345.00 OP  
65.00 OP

4. ☐ Letter filing formal drawing attached.

5. ☐ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/141,274	06/30/99	(2)	

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in \_\_\_\_\_

8.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	

9. \_\_\_\_\_ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / filed on \_\_\_\_\_

10. ☒ Attached: 1 (No.) Verified Statement(s) establishing "small entity" status under Rules 9 & 27.

11. ☐ Attached:

12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee .....				Design Application	\$310/\$155	106/26
				Not Design Application	\$690/\$345	101/201
14. Total Effective Claims	10	minus 20 =	0	x \$18/\$9	+0	103/203
15. Independent Claims	2	minus 3 =	0	x \$78/\$39	+0	102/202
16. If <u>any</u> proper multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$260/\$130	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+65	105/205
18.				FILING FEE ENCLOSED =		\$410
19. Original due date:						
20. <b>Petition is hereby made</b> to extend the <u>original due date</u> to			(1 mo)	\$110/\$55 =	+0	115/215
cover the date this response is filed for which the requisite fee			(2mos)	\$380/\$190 =		116/216
is attached			(3mos)	\$870/\$435 =		117/217
			(4mos)	\$1360/\$680 =		118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee. ....				\$40	+0	581
23. Petition Fee for				\$130	+0	
24.				TOTAL FEE ENCLOSED =		\$410

Our Deposit Account No. 03-3975

Our Order No. 75500

026-5915

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Madison & Sutro LLP**  
**Intellectual Property Group**

Attn.: Docket/Calendar Dept.  
50 Fremont Street, 5<sup>th</sup> Floor  
San Francisco, CA 94105-2230  
Tel: (415) 983-1000  
Atty/Sec: GMM/gfp

By Atty: Georgina M. McPaul

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Inventor(s): Howard Stein  
Appln. 09/605,290 or Patent No.: \_\_\_\_\_

Atty. Dkt. #3  
PM S-265915/HS-1  
M# / Client Ref.

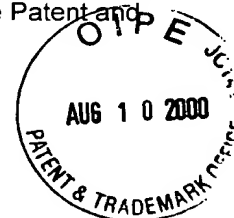
Filed: June 28, 2000 or Issued: \_\_\_\_\_

For: ENCRIPTING SECURITY DEVICE AND PROCESS

SMALL ENTITY STATEMENT CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27 (b)) - **INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled as above and described in

X ☐ the specification filed herewith  
one → ☒ Application No. 09/ filed 06/28/00  
box → ☐ Patent No.    , issued



I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, convey or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each (small entity) person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention

X → ☒ there is no such person, concern, or organization.  
one → ☐ such persons, concerns or organizations are listed in (A) and (B) below:

(A) FULL NAME of assignee/licensee/grantee/conveyee\*  
ADDRESS


☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

(B) FULL NAME of assignee/licensee/grantee/conveyee\*  
ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

\*NOTE: Separate verified statement is required from each person, concern or organization named in (A) and (B) above having rights to the invention, averring to his/her/its status as a small entity. (37 CFR 1.27)

I acknowledge the duty to file, in this case, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

1. Howard Stein  
NAME OF INVENTOR  
  
Signature of Inventor  
7/24/2000  
Date